



4910-06-P

DEPARTMENT OF TRANSPORTATION

Federal Railroad Administration

Agency Request for Emergency Processing of Collection of Information by the Office of Management and Budget

[Docket No. FRA-2016-0002-N-6]

AGENCY: Federal Railroad Administration (FRA), United States Department of Transportation (US DOT)

ACTION: Notice

SUMMARY: Consistent with the Paperwork Reduction Act of 1995 and its implementing regulations, this document provides notice that FRA is submitting the following Information Collection Request (ICR) to the Office of Management and Budget (OMB) to collect information on Positive Train Control (PTC) implementation on an annual form and a quarterly form. FRA requests emergency processing and OMB authorization to collect the information on the annual form identified below five business days after publication of this Notice for a period of 180 days. FRA requests regular processing and OMB authorization to collect the information on the quarterly form identified below 90 days after publication of this Notice for a period of three years.

FOR FURTHER INFORMATION CONTACT: A copy of this individual ICR, with any public applicable supporting documentation, may be obtained by telephoning FRA's Office of Safety Information Collection Clearance Officer, Robert Brogan (tel. (202)

493-6292), or FRA's Office of Administration Information Collection Clearance Officer, Kimberly Toone (tel. (202) 493-6132); these numbers are not toll-free; or by contacting Mr. Brogan via facsimile at (202) 493-6216 or Ms. Toone via facsimile at (202) 493-6497, or via e-mail by contacting Mr. Brogan at Robert.Brogan@dot.gov, or by contacting Ms. Toone at Kim.Toone@dot.gov. Comments or questions about any aspect of this ICR pertaining to the Quarterly PTC Progress Report Form should be directed to Mr. Brogan or Ms. Toone, while comments or questions about any aspect of this ICR pertaining to the Annual PTC Progress Report Form should be directed to OMB's Office of Information and Regulatory Affairs, Attn: FRA OMB Desk Officer.

SUPPLEMENTARY INFORMATION: Under 49 U.S.C. 20157, as amended by the Positive Train Control Enforcement and Implementation Act of 2015 (PTCEI Act) and the Fixing America's Surface Transportation (FAST) Act, each railroad required to implement a positive train control (PTC) system must provide information to FRA on its implementation progress. Under the PTCEI Act, each railroad subject to 49 U.S.C. 20157(a) must submit an annual progress report to FRA by March 31, 2016, and annually thereafter, until PTC implementation is complete. 49 U.S.C. 20157(c)(1). The amended statute specifically requires each railroad to provide certain information in the annual reports regarding its progress toward implementing PTC, and authorizes FRA to request that railroads provide additional information in the annual progress reports. See id. The annual progress report will report all progress for the previous calendar year.

In addition, 49 U.S.C. 20157(c)(2) requires FRA to conduct compliance reviews, at least annually, to ensure that each railroad is complying with its revised PTC

implementation plan (PTCIP). The amended statute requires railroads to provide information to FRA that FRA determines is necessary to adequately conduct such compliance reviews. See 49 U.S.C. 20157(c)(2).

To effectively monitor compliance with PTC system implementation, FRA is proposing to require each subject railroad and entity to submit quarterly reports on its implementation progress, in addition to the annual progress reports, under the PTCEI Act and FRA's statutory and regulatory investigative authorities. See 49 U.S.C. 20157(c)(2); see also 49 U.S.C. 20107, 20902; 49 CFR 236.1009(h). Specifically, FRA is proposing that, in addition to the annual report due each March 31 under 49 U.S.C. 20157(c)(1), railroads must provide quarterly progress reports covering the preceding three-month period and submit the forms to FRA on the dates in the following table until full PTC system implementation is completed:

	Coverage Period	Due Dates for Quarterly Reports
Q1	January 1 – March 31	June 30, 2016, and each April 30 thereafter
Q2	April 1 – June 30	July 31
Q3	July 1 – September 30	October 31
Q4	October 1 – December 31	January 31

FRA is delaying submission of the first quarterly form to allow time for the normal 60-days of notice and public comment directed to the agency and the additional 30 days of public comment directed to OMB while the submission undergoes OMB review as required under the Paperwork Reduction Act of 1995 and its concomitant regulations. Since the annual report is statutorily required by March 31, 2016, FRA is seeking Emergency Processing for the annual form.

Annual and quarterly reporting will enable FRA to effectively track and report railroad progress and compliance, and to perform its roles in enforcement and industry oversight. The proposed quarterly progress report form is formatted similar to the “PTCIP template” (FRA F 6180.164, OMB No. 2130-0553) and will be used to track railroads’ progress on, and compliance with, the core quantitative implementation elements and goals, some of which are included in the railroads’ revised PTCIPs. The quarterly frequency will allow FRA to identify potential trends so that it can manage its technical assistance and monitor compliance accordingly. The annual report is required by law, but FRA is providing guidance on what type of information must be provided to ensure consistency of the information industry provides to FRA and its usefulness to FRA for assessing progress and compliance.

FRA is proposing that each railroad must submit its quarterly progress reports and annual progress reports using Form FRA F 6180.165 and Form FRA F 6180.166, respectively.

FRA is proposing to let the less detailed monthly reporting that it currently requires (approved under OMB No. 2130-0553) expire in June 2016 when railroads would be required to begin providing the quarterly progress reports.

As provided under 5 CFR 1320.13, FRA is requesting emergency processing for the new annual progress report collection of information under the Paperwork Reduction Act of 1995 and its implementing regulations. See, e.g., 44 U.S.C. 3507; 5 CFR 1320.13. FRA cannot reasonably comply with normal clearance procedures since they would be reasonably likely to disrupt the collection of information. Each railroad is required to

submit its annual PTC progress report by March 31, 2016, under 49 U.S.C. 20157(c)(1). Therefore, FRA cannot wait the typical 60-day period for public comment. Therefore, FRA is requesting OMB approval as soon as possible (i.e., 5 business days after publication of this Notice) for this collection of information.

FRA is not requesting Emergency Processing for the quarterly PTC progress reports because the first quarterly reports will be due by June 30, 2016. The Paperwork Reduction Act of 1995, Public Law No. 104-13, sec. 2, 109 Stat. 163 (1995) (codified as revised at 44 U.S.C. 3501-3520), and its implementing regulations, 5 CFR part 1320, require Federal agencies to provide 60-days' notice to the public for comment on information collection activities before seeking approval for reinstatement or renewal by OMB. 44 U.S.C. 35069(c)(2)(A); 5 CFR 1320.8(d)(1), 1320.10(e)(1), 1320.12(a). Here, FRA is seeking public comment on its proposed quarterly reporting form to gather the information FRA needs to conduct the compliance reviews the PTCEI Act requires and is requesting a minimum OMB review and approval period of 30 days after the 60-day comment period expires. Comments on any aspect of the Quarterly PTC Progress Report may be sent to the following: Federal Railroad Administration, 1200 New Jersey Ave., SE, Washington, DC 20590, Attention: Mr. Robert Brogan or Ms. Kim Toone; or via e-mail at the following: Robert.Brogan@dot.gov; Kim.Toone@dot.gov. Copies of both proposed forms are published as attachments to this notice.

The associated collection of information is summarized below.

Title: Quarterly Positive Train Control (PTC) Progress Report Form and Annual Positive Train Control (PTC) Progress Report Form

Reporting Burden:

Quarterly PTC Progress Report	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
Form FRA F 6180.165	41 Railroads	164 Reports/Forms	1.573 hours	258 hours

Annual PTC Progress Report	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
Form FRA F 6180.166	41 Railroads	41 Reports/Forms	38.41 hours	1,575 hours

Form Number(s): FRA F 6180.165; FRA F 6180.166

Respondent Universe: 41 Railroads

Frequency of Submission: On occasion

Total Estimated Responses for New Quarterly and Annual PTC Progress Report Forms:
205

Total Estimated Responses for Entire Information Collection: 147,776

Total Estimated Annual Burden for New PTC Quarterly and Annual Progress Report Forms: 1,833 hours

Total Estimated Burden for Entire Information Collection: 3,122,817

Status: Emergency Review (Annual PTC Progress Report Form) and Regular Review (Quarterly PTC Progress Report Form)

Pursuant to 44 U.S.C. 3507(a) and 5 CFR 320.5(b), 1320.8(b)(3)(vi), FRA informs all interested parties that it may not conduct or sponsor, and a respondent is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Authority: 44 U.S.C. 3501-3520.

Issued in Washington, DC on March 1, 2016.

Corey Hill,
Acting Executive Director.

Annual PTC
Progress
Report

[Year]

[Railroad Name]

[Docket Number]

The Annual Positive Train Control (PTC) Progress Report is due by March 31st of each year until full PTC system implementation is complete. The Annual PTC Progress Report must cover the railroad's implementation efforts and progress from the directly previous calendar year, and must be submitted electronically to the Federal Railroad Administration (FRA) via the FRA Secure Information Repository at <https://sir.fra.dot.gov>.

Name of Railroad or Entity Subject to 49 U.S.C. § 20157(a): [Click here to enter railroad name.](#)

Railroad Code: [Choose railroad code.](#)

Annual PTC Implementation Progress Report for: [Choose the applicable year.](#)

PTCIP Version Number of File with FRA (basis for goals stated): [Click here to enter PTCIP Version Number.](#)

Submission Date: [Click here to enter a date.](#)

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1. Summary

Please provide a narrative summary of overall PTC implementation progress during the preceding calendar year (January 1 to December 31):

Click here to enter text.

Category	Quantity Installed During Calendar Year	PTCIP Year End Goal (If Applicable)	Cumulative Quantity Installed at End of Calendar Year	Total Quantity Required for PTC Implementation
Locomotives Fully Equipped	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Installation/Track Segments Completed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Radio Towers Fully Installed and Equipped	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Employees Trained	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Back Office Locations Completely Installed and Fully Operable	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Dispatching Locations Completely Installed and Fully Operable	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Route Miles In Testing or Revenue Service Demonstration	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).
Route Miles in PTC Operation	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).

2. Update on Spectrum Acquisition

Required content:

- The amount of spectrum acquired and available for use during the applicable calendar year and the cumulative amount acquired and available for use at the end of the applicable calendar year, as compared to the amount the railroad stated would be acquired and available for use by the end of that calendar year and in total for PTC implementation, in the applicable revised PTCIP, as amended
- The basis for how the railroad is determining that the acquired spectrum is available for use by PTC radios (e.g., ensuring non-interference with other radios)

Spectrum Area or Location (E.g., county)	Spectrum Acquired and Available for Use (Owned/Leased) During Calendar Year	Cumulative Amount of Spectrum Acquired and Available for Use (Owned/Leased) at End of Calendar Year	PTCIP Year End Goal for Spectrum Acquired and Available for Use	Total Spectrum Required for PTC Implementation, as Reported in PTCIP
Spectrum Coverage Area or Location†: Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

†Note: To add rows for additional spectrum areas or locations, click on the blue “+” symbol at the bottom right-hand corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

Please provide any additional narrative for Spectrum Acquisition below:

Click here to enter text.

3. Quantity Update on Hardware Installation

Required content:

- Separated by each major hardware category and subcategory identified below, the amount of PTC hardware installed during the applicable calendar year and the cumulative quantity installed at the end of the applicable calendar year, as compared to the amount the railroad stated would be installed by the end of that calendar year and in total for PTC implementation, in the applicable revised PTCIP, as amended

3.1. Locomotive Status

Category / Installation Feature	Quantity Installed During Calendar Year	PTCIP Year End Goal	Cumulative Quantity Installed at End of Calendar Year	Total Required for PTC Implementation, as Reported in PTCIP
Locomotive (Apparatus)¹				
On-board Computers (e.g., Train Management Computer)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Software For Train Management and other applications	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
PTC Displays	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Event Recorders	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Onboard Antennas and/or Transponder Readers	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
GPS Receivers	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotive Radios – Primary Communications (e.g., 220 MHz radios)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.

¹ Railroads may elect to add categories or subcategories if more detail is desired.

Secondary Communications (e.g., cell or Wi-Fi communications) Equipment	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
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Please provide any additional narrative for Locomotive Status below:

Click here to enter text.

3.2. Infrastructure/Back Office Status

Category / Installation Feature	Locations Completed During Calendar Year	PTCIP Year End Goal	Cumulative Quantity Complete at End of Calendar Year	Total Required for PTC Implementation, as Reported in PTCIP
Infrastructure (Back Office)				
Dispatching Locations (installations complete)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Back Office Locations (installations complete)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.

Please provide any additional narrative for Infrastructure/Back Office Status below:

Click here to enter text.

3.3. Installation/Track Segment Status

Category / Installation Feature	Quantity Installed During Calendar Year	PTCIP Year End Goal	Cumulative Quantity Installed at End of Calendar Year	Total Required for PTC Implementation, as Reported in PTCIP
Infrastructure – Wayside (by Installation/Track Segment)²				
Installation/Track Segment Identification†: Click here to enter installation/track segment identification.				
Wayside Interface Units†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Communication Towers or Poles†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Switch Position Monitors†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Planned Fiber or Ground Wiring (per mile)†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Wayside Radios†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Base Station Radios†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.

†Note: To add rows for additional installation/track segments and associated sub-components, click on the blue “+” symbol at the bottom right-hand corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

² Each railroad should report information in a manner consistent with its PTCIP. That is, if a railroad monitors implementation of track segments by subdivision, it should report that way.

Please provide any additional narrative for Installation/Track Segment Status below:

[Click here to enter text.](#)

4. Quantity Update on Employees Trained

Required content:

- Separated by each employee category identified below, the number of employees trained during the applicable calendar year and the cumulative number of employees trained at the end of the applicable calendar year, as compared to the number the railroad stated would be trained by the end of that calendar year and in total, in the applicable revised PTCIP, as amended

Employee Category ³	Number of Employees Trained During Calendar Year	PTCIP Year End Goal	Cumulative Number of Employees Trained at End of Calendar Year	Total Reported in PTCIP
T&E Crew (Operations) Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Mechanical Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
MOW/Engineering/Roadway Worker Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Management Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Other Staff	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.

Please provide any additional narrative for Employee Training below:

[Click here to enter text.](#)

³ These categories are suggestive. All categories may not apply, and additional categories may be added based on the railroad's specific implementation needs.

5. Progress on Implementation Schedule/Milestones

In its annual progress reports, each subject railroad and entity must provide a progress update with respect to its project schedule. A railroad should only submit schedule information demonstrating actual progress as measured against the schedule in its revised PTCIP, as amended. This could be accomplished by providing detailed project schedules and visual aids (e.g., a Gantt chart) if available, or any other information documenting current progress as compared to the implementation schedule in the railroad's revised PTCIP, as amended. Details regarding any notable variances or trends that are affecting, or could possibly affect, PTC implementation goals should also be explained in the annual progress reports. Where circumstances are adversely affecting a railroad's implementation of PTC, the railroad must also provide an action plan to recover from, or mitigate, any adverse consequences.

Required content:

- Schedule/Milestone Progress Information as described above
- The extent to which the railroad or other entity is complying with the implementation schedule it provided in its revised PTCIP, as amended

Please provide any additional narrative for Progress on Implementation Schedule/Milestones below:

Click here to enter text.

6. Summary Update of Challenges/Risks

Required content:

- Any update to the summary of remaining technical, programmatic, operational, or other challenges that the railroad or other entity provided in its revised PTCIP, as amended, including challenges with availability of public funding, interoperability, spectrum, software, permitting, and testing, demonstration, and certification
- Schedule Risk Updates (e.g., funding, technology, agreements)

Please provide Summary Update of Challenges/Risks below:

Click here to enter text.

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7. Progress on Revenue Service Demonstration (RSD) or Implementation

Required content:

- The total number of route miles on which PTC has been initiated for revenue service demonstration or implemented, as compared to the total number of route miles required to have a PTC system (see Section 1 Summary Table)
- Estimated start date (month and year) for RSD

Segment Identification ⁴	Number of Route Miles in Segment	Status at End of Calendar Year <i>Current status of installation/track segment. Choose one:</i>	Estimated Start Date for Revenue Service Demonstration (if not already completed)
Segment <i>(add additional rows for segments as necessary):</i> Click here to enter segment identification.	Click here to enter number of route miles.	<input type="radio"/> Not Started <input type="radio"/> Installing <input type="radio"/> Testing <input type="radio"/> Operational/Complete	Click here to enter Date.

Note: To add additional rows, click on the blue "+" symbol at the bottom right-hand corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

Please provide any additional narrative for Revenue Service Demonstration or Implementation below:

Click here to enter text.

⁴ Segment identification should be consistent with segments listed in Section 3.3.

8. Update for Intercity or Commuter Rail Passenger Transportation (if applicable)

If this section is not applicable to your railroad, please mark N/A.

Required content (if applicable):

- For each entity providing regularly scheduled intercity or commuter rail passenger transportation, a description of the resources identified and allocated to implement PTC

Please provide Update for Intercity or Commuter Rail Passenger Transportation below, if applicable:

Click here to enter text.

9. Update on Interoperability Progress and Other Formal Agreements

Required content:

- For host railroads: provide updates to any agreements and key milestones for all tenant operations
- For tenant railroads: provide updates to any agreements and key milestones for all operations over tracks hosted by another railroad

Please provide Update on Interoperability below:

Click here to enter text.

10. Estimated PTC Safety Plan (PTCSP) Submission Date (if not already submitted)

If this section is not applicable to your railroad, please mark N/A.

PTCSP Submission Date
Click here to enter PTCSP Submission Date.

Please provide any additional narrative for PTCSP Submission below:

Click here to enter text.

11. Testing and Integration Efforts (if applicable, laboratory, integration, and revenue service demonstration)

Please provide Update on Testing and Integration efforts below:

Click here to enter text.

12. Updated Information That FRA Can Use to Maintain Its Geographic Information System (GIS) Database – Segments Complete and Operable

In its annual progress reports, a subject railroad or entity may submit a geographic information system (GIS) shapefile to indicate where various rail segments that must have PTC are located, as long as it includes the following fields: (1) a PTC attribute field (coded with "Y" if line segment is to have PTC installed, otherwise left blank); (2) a SUBDIV attribute field (populated with subdivision name); (3) a MONTH attribute field (populated with the month in which PTC is to be installed); and (4) a YEAR attribute field (populated with the year in which PTC is to be installed).

If a railroad chooses to submit the required information by means other than shapefile format, please inform FRA as to the railroad's preference prior to the March 31st annual reporting deadline.

Please provide any additional narrative for GIS Information below:

[Click here to enter text.](#)

Public reporting burden for this information collection is estimated to average 38.41 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. According to the Paperwork Reduction Act of 1995, a federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this information collection is **2130-0553**. All responses to this collection of information are mandatory. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden to OMB's Office of Information and Regulatory Affairs, Attn: FRA OMB Desk Officer.

Quarterly Progress Report Form – Positive Train Control Implementation

Name of Railroad or Entity Subject to 49 U.S.C. § 20157(a): [Click here to enter railroad name.](#)

Railroad Code: Choose railroad code.

Positive Train Control (PTC) Implementation Quarterly Progress Report for: Choose the applicable quarter and year.

Date: [Click here to enter a date.](#)

Key Dates for PTC Implementation Quarterly Progress Reporting:

Period	Coverage Period	Progress Report Due Date
Q1	January 1 – March 31	June 30, 2016 and April 30 each year thereafter
Q2	April 1 – June 30	July 31
Q3	July 1 – September 30	October 31
Q4	October 1 – December 31	January 31

To effectively monitor each railroad's progress implementing PTC, FRA is requiring the submission of quarterly progress reports on this new Form FRA F 6180.165, beginning June 30, 2016, and April 30th each year thereafter under its investigative authorities. *See, e.g.*, 49 U.S.C. §§ 20107, 20902, 20157(c)(2); 49 C.F.R. § 236.1009(h). Railroads must use this form to report PTC implementation progress data quarterly, by the due dates set forth in the above table. Each railroad should select the correct quarter and year for each quarterly report. In the quarterly progress report form below, indicate "N/A" for instances when a category is not applicable.

Quarterly progress report forms must be submitted electronically to the Federal Railroad Administration (FRA) via the FRA Secure Information Repository (SIR) at <https://sir.fra.dot.gov>.

Quarterly Progress Report Form – Positive Train Control Implementation

I. Spectrum

Spectrum Area or Location (E.g., county)	Amount of Spectrum Acquired and Available for Use As of Applicable Quarter	Amount of Spectrum Required to Be Acquired and Available for Use By the End of the Calendar Year in the Applicable PTCIP	Describe Current Status
Spectrum Coverage Area or Location†: Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

II. Summary

Category	Quantity Completed As of Applicable Quarter	Total Quantity Required for PTC Implementation
Locomotives Fully Equipped	Click here to enter quantity.	Click here to enter quantity.
Installation/Track Segments Completed	Click here to enter quantity.	Click here to enter quantity.
Radio Towers Fully Installed and Equipped	Click here to enter quantity.	Click here to enter quantity.
Employees Trained	Click here to enter quantity.	Click here to enter quantity.
Back Office Locations Completely Installed and Fully Operable	Click here to enter quantity.	Click here to enter quantity.
Dispatching Locations Completely Installed and Fully Operable	Click here to enter quantity.	Click here to enter quantity.

Quarterly Progress Report Form – Positive Train Control Implementation

III. Installation Schedule – Quarterly Reporting

Category / Installation Feature	Q1 – Quantity Installed	Q2 – Quantity Installed	Q3 – Quantity Installed	Q4 – Quantity Installed	Year-to-Date Cumulative Total	PTCIP Year End Goal	Grand Total Reported in PTCIP
Locomotive (Apparatus)¹							
On-board Computers (e.g., Train Management Computer)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Software For Train Management and Other Applications	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
PTC Displays	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Event Recorders	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Onboard Antennas and/or Transponder Readers	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
GPS Receivers	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotive Radios – Primary Communications (e.g., 220 MHz radios)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.

¹ Railroads may elect to add categories or subcategories if more detail is desired.

OMB Control No. 2130-0553

Quarterly Progress Report Form – Positive Train Control Implementation

Secondary Communications (e.g., Cell or Wi-Fi communications) Equipment	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
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Quarterly Progress Report Form – Positive Train Control Implementation

Category / Installation Feature	Q1 – Quantity Installed	Q2 – Quantity Installed	Q3 – Quantity Installed	Q4 – Quantity Installed	Year-to- Date Cumulative Total	PTCIP Year End Goal	Grand Total Reported in PTCIP
Infrastructure (Back Office)							
Dispatching Locations (installations complete)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Back Office Locations (installations complete)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Infrastructure – Wayside (by Installation/Track Segment)²							
Installation/Track Segment Identification†: Click here to enter installation/track segment identification.							
Wayside Interface Units†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Communication Towers or Poles†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Switch Position Monitors†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Planned Fiber or Ground Wiring (per mile)†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.

² Each railroad should report information in a manner consistent with its revised PTCIP. That is, if a railroad monitors implementation of track segments by subdivision, it should report that way.

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Wayside Radios†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Base Station Radios†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.

†Note: To add rows for additional installation/track segments and associated sub-components, click on the blue “+” symbol at the bottom right-hand corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

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IV.

Installation/Track Segment Progress – Current Status³

Note: For all live segments, please provide GIS shapefile or corresponding data for segments put into operation.

Segment Identification ⁴	Q1 Status Current status of installation/track segment. <i>Choose one:</i>	Q2 Status Current status of installation/track segment. <i>Choose one:</i>	Q3 Status Current status of installation/track segment. <i>Choose one:</i>	Q4 Status Current status of installation/track segment. <i>Choose one:</i>
Segment (add additional rows for segments as necessary): Click here to enter segment identification.	<input type="radio"/> Not Started <input type="radio"/> Installing <input type="radio"/> Testing <input type="radio"/> Operational/Complete	<input type="radio"/> Not Started <input type="radio"/> Installing <input type="radio"/> Testing <input type="radio"/> Operational/Complete	<input type="radio"/> Not Started <input type="radio"/> Installing <input type="radio"/> Testing <input type="radio"/> Operational/Complete	<input type="radio"/> Not Started <input type="radio"/> Installing <input type="radio"/> Testing <input type="radio"/> Operational/Complete

Note: To add additional rows, click on the blue “+” symbol at the bottom right-hand corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

³ For passenger rail operations, this information should be further segregated into those routes where it is a host or tenant.

⁴ Segment identification should be consistent with segments listed in Section III.

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V. Employee Training – Quarterly Reporting

Employee Category ⁵	Q1 - # Employees Trained	Q2 - # Employees Trained	Q3 - # Employees Trained	Q4 - # Employees Trained	Year-to-Date Cumulative Total	PTCIP Year End Goal	Grand Total Reported in PTCIP
T&E Crew (Operations) Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Mechanical Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
MOW/Engineering/Roadway Worker Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Management Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Other Staff	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.

⁵ These employee categories are suggestive. All categories may not apply, and additional categories may be added based on the railroad's specific implementation needs.

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VI. Update on Interoperability Progress

This section is provided to help railroads describe interoperability information. Please provide appendices as appropriate.

Update on Interoperability
Host railroads: Please provide 1) updates to any agreements and key milestones for all tenant operations, 2) the number of tenants required to PTC-equip at least one locomotive to operate over the host's territory, and 3) the status of each tenant's progress (if that tenant did not file its own PTCIP).
Tenant Railroads: Please provide updates to any agreements and key milestones for all operations over tracks hosted by another railroad.

Public reporting burden for this information collection is estimated to average 1.573 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. According to the Paperwork Reduction Act of 1995, a federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this information collection is **2130-0553**. All responses to this collection of information are mandatory. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden to: Information Collection Officer, Federal Railroad Administration, 1200 New Jersey Avenue, S.E., Washington D.C. 20590.